



16569 U.S. PTO

PTO/SB/05 (06-03)

Approved for use through 07/31/2003. OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |                                |
|------------------------|--------------------------------|
| Attorney Docket No.    | 44471/298741                   |
| First Inventor         | Jinichi Hiyama                 |
| Title                  | Header Tank for Heat Exchanger |
| Express Mail Label No. | EL 999329094 US                |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 19]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. Oath or Declaration [Total Sheets]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Reader Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS Citations  
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☒ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

Examiner

Art Unit:

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number: 23370 OR ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Robert E. Richards

Registration No. (Attorney/Agent)

29,105

Signature

Date

3-24-04

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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22859 U.S. PTO  
10/807722

032404

ORIGINAL

PTO/SB/17 (10-03)

Approved for use through 07/31/2006, OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL  
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT**

(\$ 1,190.00)

**Complete if Known**

Application Number

Filing Date

03/24/2004

First Named Inventor

Jinichi Hiyama

Examiner Name

Art Unit

Attorney Docket No.

44471/298741

**METHOD OF PAYMENT (check all that apply)**☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

11-0855

KILPATRICK STOCKTON LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description        | Fee Paid        |
|-------------------------------|-------------------------------|------------------------|-----------------|
| 1001 770                      | 2001 385                      | Utility filing fee     | 770             |
| 1002 340                      | 2002 170                      | Design filing fee      |                 |
| 1003 530                      | 2003 265                      | Plant filing fee       |                 |
| 1004 770                      | 2004 385                      | Reissue filing fee     |                 |
| 1005 160                      | 2005 80                       | Provisional filing fee |                 |
| <b>SUBTOTAL (1)</b>           |                               |                        | <b>(\$ 770)</b> |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 13                 | - 20 = 0     | x 18           | = 0      |
| Independent Claims | 1            | - 3 = 0        | x 86 = 0 |
| Multiple Dependent |              | 290            | = 290    |

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  |
|-------------------------------|-------------------------------|--|
| 1202 18                       | 2202 9                        | Claims in excess of 20                                     |
| 1201 86                       | 2201 43                       | Independent claims in excess of 3                          |
| 1203 290                      | 2203 145                      | Multiple dependent claim, if not paid                      |
| 1204 86                       | 2204 43                       | ** Reissue independent claims over original patent         |
| 1205 18                       | 2205 9                        | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)**

(\$ 290)

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|---------------|---------------|---------------|---------------|--|----------|
| 1051 130      | 2051 65       | 1052 50       | 2052 25       | Surcharge - late filing fee or oath  | 130      |
| 1053 130      | 1053 130      | 1812 2,520    | 1812 2,520    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1804 920*     | 1804 920*     | 1805 1,840*   | 1805 1,840*   | Non-English specification  |          |
| 1805 1,840*   | 1805 1,840*   | 2251 55       | 2251 55       | For filing a request for <i>ex parte</i> reexamination                     |          |
| 1251 110      | 2251 55       | 2252 210      | 2252 210      | Requesting publication of SIR prior to Examiner action                     |          |
| 1252 420      | 2252 210      | 2253 475      | 2253 475      | Requesting publication of SIR after Examiner action                        |          |
| 1253 950      | 2253 475      | 2254 740      | 2254 740      | Extension for reply within first month                                     |          |
| 1254 1,480    | 2254 740      | 2255 1,005    | 2255 1,005    | Extension for reply within second month                                    |          |
| 1255 2,010    | 2255 1,005    | 2401 165      | 2401 165      | Extension for reply within third month                                     |          |
| 1401 330      | 2401 165      | 2402 165      | 2402 165      | Extension for reply within fourth month                                    |          |
| 1402 330      | 2402 165      | 2403 145      | 2403 145      | Extension for reply within fifth month                                     |          |
| 1403 290      | 2403 145      | 1451 1,510    | 1451 1,510    | Notice of Appeal   |          |
| 1451 1,510    | 1451 1,510    | 1452 110      | 1452 110      | Filing a brief in support of an appeal                                     |          |
| 1452 110      | 1452 110      | 1453 1,330    | 1453 1,330    | Request for oral hearing   |          |
| 1453 1,330    | 1453 1,330    | 1501 1,330    | 1501 1,330    | Petition to institute a public use proceeding                              |          |
| 1501 1,330    | 1501 1,330    | 1502 480      | 1502 480      | Petition to revive - unavoidable   |          |
| 1502 480      | 1502 480      | 1503 640      | 1503 640      | Petition to revive - unintentional   |          |
| 1460 130      | 1460 130      | 1460 130      | 1460 130      | Utility issue fee (or reissue)   |          |
| 1807 50       | 1807 50       | 1807 50       | 1807 50       | Design issue fee   |          |
| 1806 180      | 1806 180      | 1806 180      | 1806 180      | Plant issue fee  |          |
| 8021 40       | 8021 40       | 1809 770      | 1809 770      | Petitions to the Commissioner  |          |
| 1809 770      | 1809 770      | 1810 770      | 1810 770      | Processing fee under 37 CFR 1.17(q)  |          |
| 1810 770      | 1810 770      | 1801 770      | 1801 770      | Submission of Information Disclosure Stmt                                  |          |
| 1801 770      | 1801 770      | 1802 900      | 1802 900      | Recording each patent assignment per property (times number of properties) |          |
| 1802 900      | 1802 900      |               |               | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
|               |               |               |               | For each additional invention to be examined (37 CFR 1.129(b))             |          |
|               |               |               |               | Request for Continued Examination (RCE)                                    |          |
|               |               |               |               | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

(\$ 130)

**SUBMITTED BY**

Name (Print/Type)

Robert E. Richards

Registration No.  
(Attorney/Agent)

29,105

(Complete (if applicable))

Telephone 404.815.6500

Signature

Date

03/24/2004

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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